



Attorney's Docket No.: 09857-092001

3624
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BT
10-20-28

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al. Art Unit : 3624
Serial No. : 10/077,182 Examiner : Unknown
Filed : February 15, 2002
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

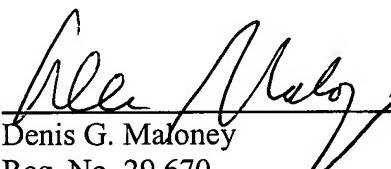
INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed. A copy of a communication from a foreign patent office in a counterpart application is also enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 10/9/03



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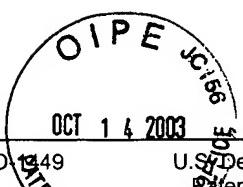


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Sheet 1 of 1

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 109857-6192001	Application No. 10/077,182
Information Disclosure Statement by Applicant <small>(Use several sheets if necessary)</small> <small>(37 CFR §1.98(b))</small>		GROUP 600		
		Applicant Steven M. Bloom et al.		
		Filing Date February 15, 2002	Group Art Unit 3624	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	6,035,287		Stallert et al.			3/7/00
	AB	6,278,983		Ball			8/21/01
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
	AL						
	AM						
	AN						
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	AP						

Other Documents (include Author, Title, Date, and Place of Publication)		
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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	